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17207-00012
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Lineberry et al.
Serial No.: 09/855,091
Filed: May 14, 2001
For: METHODS AND SYSTEMS
FOR PERFORMING
ACQUISITION INTEGRATION

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CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on September 18, 2001.

John S. Beulick
Reg. No. 33,338

PRELIMINARY AMENDMENT

Hon. Assistant Commissioner for Patents
Washington, D.C. 20231

Please amend the present patent application as set forth below.

IN THE SPECIFICATION

Please replace paragraph number 56 with the following replacement paragraph:

Figure 4 is an example of a login user interface 100 for an acquisition integration framework tool. Authorized users are able to access the acquisition framework tool by entering a valid user name and password. If a password is forgotten, a link exists where a user can notify a system administrator of the forgotten password. A link where a non-user can request an account

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is also supplied in the embodiment of user interface 100 shown in Figure 4. In one embodiment, login user interface 100 includes an advisory. For example, in one embodiment, login user interface 100 includes the following advisory: "In order to become compliant with Web Security Procedures, we need to cancel generic passwords. Please take a moment and register your proper account. Meanwhile you will be added to our users distribution list, so we can keep you more effectively updated about coming AIF updates and enhancements."

Please replace paragraph number 63 with the following replacement paragraph:

Figure 7 is an example of an AIF Overview user interface 130. In addition to the AIF overview shown, one embodiment of user interface 130 includes a description of the DMAIC (Define, Measure, Analyze, Implement, and Control) Integration Process, Non-Negotiables (elements that are essential for conducting business), and the Features of the AIF. Data corresponding to the AIF overview is stored within database 18, for display by system 10. AIF Overview user interface 130 describes the philosophy underlying the acquisition integration framework, and is used to inform the user about critical aspects of Acquisition Integration. In one embodiment, AIF overview user interface 130 includes a background section. For example, in one embodiment, AIF overview user interface 130 includes the background: "Acquisition Integration is defined as the 'Process of Preparing for and Assimilating a Newly Acquired Company or Portfolio into the Family'. Integration is the vehicle by which we realize the expected goals and benefits of our acquisitions. Because we do numerous acquisitions each year, integration needs to be a repeatable process. A structured approach to integration serves as a source of competitive advantage by providing a strategy for managing integration efforts from day one. In addition, the Acquisition Integration Framework tool facilitates the sharing of integration best practices and lessons learned. All of the business can benefit from the collective knowledge of our acquisition integration experiences. The AIF tool was designed to greatly increase the speed and success rate of our acquisitions by eliminating the need to 're-create the wheel' each time. One important principle to the Acquisition Integration Framework is to understand that every integration is different. While you can surely benefit and learn from past

integration experience, the success factors for one effort may not be relevant to another integration initiative. Similarly, you can't expect all tolls and processes to be equally applicable to every case. So, you must carefully evaluate the objectives set out by the leadership team and the characteristics of the new company to shape and customize the optimal integration approach."

Please replace paragraph number 67 with the following replacement paragraph:

Figure 10 is an example of an integration event explanation user interface 160 which is displayed upon selection of an integration event, for example, the integration events shown in Figure 8. In particular, user interface 160 shows a Step 2100: Present an Overview to Target Management user interface, showing advice to a manager associated with the acquisition integration and including a link to previous management presentations (described in Figure 11). In one embodiment, user interface 160 includes the following text below the section entitled Step 2100: Present an Overview to Target Management: "At the beginning of the due diligence, the Business Leader should take the time to introduce his leadership team to the Target Company. Presenting an overview pitch on the due diligence process is helpful for the Target Company to understand what may be required of them and how the process will work. This is also terrific time to get the key members of the Target Company excited about joining the family. Giving an overview presentation on the history and its major accomplishments is recommended. Example: Management presentations." Description of the integration event is important to a person responsible for the integration event, since he or she determines completeness and updates a completion percentage for one or more integration events.

Please replace paragraph number 68 with the following replacement paragraph:

Figure 11 is an example of a sample presentations user interface 170, in particular a management presentation, which is displayed upon selection of a management presentations link within an integration event description. While content of a management presentation will vary from integration event to integration event, user interface 170 illustrates that sample

presentations are typically attached files, for example, slide presentations, presented previously and attached to the acquisition integration tool using system 10. In one embodiment, user interface 170 includes the following text: "One-on-Ones, Interviews and Work-Out to Capture Best Practices 2/00 – 4/00...Design and Validation 4/00 – 7/00...Pilot and Revisions 10/00 - 1/01...Launch 1/01...". Data corresponding to presentations and explanations of integration events are stored within database 18 (shown in Figure 2).

Please replace paragraph number 70 with the following replacement paragraph:

Figure 14 is an example of an Intellectual Property Overview user interface 220, describing an intellectual property acquisition integration task list which is assigned to the intellectual property integration leader. User interface 220 is accessed by selecting the overview link described in intellectual property integration area user interface 200 (shown in Figure 12.) In one embodiment, user interface 220 includes the following text under the section entitled Intellectual Property Overview: "Effective and timely intellectual property integration includes a multitude of tasks to be performed over a period of time. IP integration is best achieved where these tasks are planned and initiated early in the acquisition time continuum. The earlier the planning, the better. For this reason, the IP integration framework described hereafter moves the planning tasks and the tasks associated with developing an effective plan and integration team, toward the front of the acquisition time continuum. For example, appointing an IP Integration Leader, performing Gap Analysis, defining an IP integration structure and preparing an initial IP integration budget have all been placed in the measure or pre-signing step. Beginning early on all these tasks facilitates IP integration. However, for any given acquisition, it may be appropriate for several reasons, to slip these tasks downstream in the acquisition time continuum. For example, some of these tasks, such as the Gap Analysis or budget, may be performed in the post-signing/pre-closing or analyze phase. The key is that they are performed. That said, however, the 'define' phase should take place prior to due diligence. From an IP integration perspective, two main objectives need to be achieved prior to commencing the due diligence: 1. An IP Integration Leader needs to be selected. 2. This IP Integration Leader needs to

understand the IP aspects of the business case: What role is IP expected to play during and after the transaction? How are we going to implement the IP Objectives?" In addition, in one embodiment, user interface 220 includes the following text under the section entitled 1000 DEFINE: "He or she will be part of or lead the due diligence team and be responsible for transitioning the knowledge to the IP Integration Team. Deliverables for the define phase tollgate include: 1. IP Integration Leader appointed. 2. Scope of IP Integration – assessment of importance of IP in transaction. Define key assumptions and 'must have' underlying IP aspects of business case or synergies. 3. List of goals/CTQ's."

Please replace paragraph number 71 with the following replacement paragraph:

Figure 15 is an example of an Intellectual Property "Do's and Don'ts" user interface 230, which provides advice to managers of the acquisition integration of a target company's intellectual property. User interface 230 provides advice regarding which actions should be taken and which actions should be avoided. In one embodiment, user interface 230 includes the following Do's: "Begin integration planning before due diligence; Understand the relevance and importance of IP to the transaction; Understand the IP health of the acquired company...perform a Gap Analysis; Develop strong cross functional IP integration expertise...legal, engineering, human resources, security and so on; Establish clear CTQ's and goals to direct the IP integration; and Involve employees from the acquired company in the integration." In addition, in one embodiment, user interface 230 includes the following Don'ts: Underestimate the cost of the IP integration; Assume existing company has the best practices, look at the best practices of the acquired company; and Don't shy away from tough decisions."

Please replace paragraph number 72 with the following replacement paragraph:

Figure 16 is an example of an Intellectual Property contacts user interface 240, showing contact information for an individual who has been designated as a source of knowledge when confronting intellectual property acquisition integration issues. In one embodiment, user interface 240 includes the name, title and phone number for an individual who has been

designated as a source of knowledge. For example, in one embodiment, user interface 240 includes: "Joe Counsel – Associate General Patent Counsel and IP Transactions Counsel; (555) 123-4567."

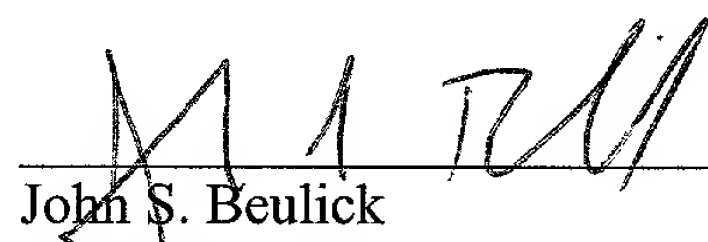
Remarks

Please enter the foregoing preliminary amendment prior to examination of the present application.

Claims 1-79 are now pending in this application. A Submission of Marked Up Paragraphs is submitted herewith. Applicants request entry of the foregoing amendment prior to examination of this application. Favorable action is respectfully solicited.

Applicants note the objection to the drawings. Submitted herewith is a request for approval of drawing changes. Specifically, excessive text has been deleted from Figures 4, 7, 10, 11, and 14-16. The specification has been amended as set forth above to include the deleted text from Figures 4, 7, 10, 11, and 14-16. No new matter has been added. Applicants submit that the remaining text in all other figures, Figures 1-3, 5-6, 8-9, 12-13 and 17-80, is necessary to understand such figures, pursuant to 37 C.F.R. 1.84(o). In addition, Figure 33 has been divided into Figures 33a and 33b on separate drawing sheets and Figure 42 has been divided into Figures 42a, 42b and 42c on separate drawing sheets. Applicants respectfully request approval of the indicated drawing changes. Upon approval of the drawing change, Applicants will submit substitute formal drawings incorporating the above-noted changes.

Respectfully Submitted,


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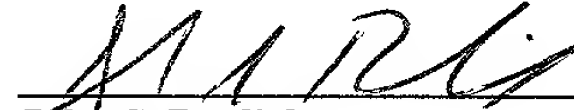
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John S. Beulick
Reg. No. 33,338

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SUBMISSION OF MARKED UP PARAGRAPHS

Hon. Assistant Commissioner for Patents
Washington, D.C. 20231

Submitted herewith are marked up paragraphs in accordance with 37 C.F.R.

1.121(b)(1)(iii).

IN THE SPECIFICATION

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system administrator of the forgotten password. A link where a non-user can request an account is also supplied in the embodiment of user interface 100 shown in Figure 4. In one embodiment, login user interface 100 includes an advisory. For example, in one embodiment, login user interface 100 includes the following advisory: "In order to become compliant with Web Security Procedures, we need to cancel generic passwords. Please take a moment and register your proper account. Meanwhile you will be added to our users distribution list, so we can keep you more effectively updated about coming AIF updates and enhancements."

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An IP Integration Leader needs to be selected. 2. This IP Integration Leader needs to understand the IP aspects of the business case: What role is IP expected to play during and after the transaction? How are we going to implement the IP Objectives?” In addition, in one embodiment, user interface 220 includes the following text under the section entitled 1000 DEFINE: “He or she will be part of or lead the due diligence team and be responsible for transitioning the knowledge to the IP Integration Team. Deliverables for the define phase tollgate include: 1. IP Integration Leader appointed. 2. Scope of IP Integration – assessment of importance of IP in transaction. Define key assumptions and ‘must have’ underlying IP aspects of business case or synergies. 3. List of goals/CTQ’s.”

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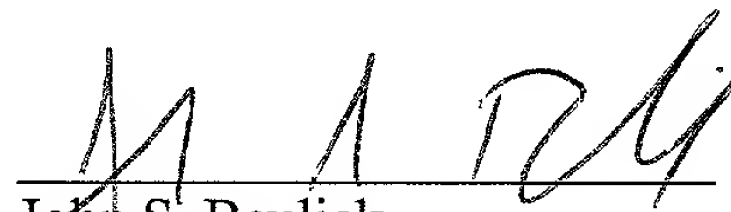
Figure 15 is an example of an Intellectual Property “Do’s and Don’ts” user interface 230, which provides advice to managers of the acquisition integration of a target company’s intellectual property. User interface 230 provides advice regarding which actions should be taken and which actions should be avoided. In one embodiment, user interface 230 includes the following Do’s: “Begin integration planning before due diligence; Understand the relevance and importance of IP to the transaction; Understand the IP health of the acquired company...perform a Gap Analysis; Develop strong cross functional IP integration expertise...legal, engineering, human resources, security and so on; Establish clear CTQ’s and goals to direct the IP integration; and Involve employees from the acquired company in the integration.” In addition, in one embodiment, user interface 230 includes the following Don’ts: Underestimate the cost of the IP integration; Assume existing company has the best practices, look at the best practices of the acquired company; and Don’t shy away from tough decisions.”

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Respectfully Submitted,



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